

RECAP 2002/2003: OECA Performance Measures: Table of Contents

Organization of RECAP 2000/2001	Area	
Section I	MOA Priority Measures	Our ability to track activities in MOA priority areas is greatly facilitated by fields in ICIS. ICIS requires that all enforcement activities be classified as either MOA priority, regional priority or core.
Section II	Compliance Assistance Measures (Outcomes and Outputs)	These measures include the traditional activity counts for compliance assistance activities such as workshops, outreach materials, trainings, and on-site visits as well as outcome measures. In FY 2003, the regions will be asked to conduct outcome measurement projects and to report the data in RCATs.
Section III	Compliance Incentives (Outcomes and Outputs)	The measures in this section track the outcomes of our audit policy and small business policy.

Section IV	Clean Air Act Measures: HPV measures, compliance monitoring, and enforcement outputs and outcomes.	This section captures our traditional media-specific HPV measures such as the universe of significant violators; addressing of HPVs; T &A as well as measures for duration and recidivism. New measures include those to reflect the new Compliance Monitoring Strategy and the Title V Certification Program.
Section V	Clean Water Act Measures (NPDES and Pretreatment); SNC measures; compliance monitoring; and enforcement outputs and outcomes.	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as the measures for duration and recidivism.
Section VI	Safe Drinking Water Measures; SNC, compliance monitoring; enforcement outputs and outcomes..	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; and T &A. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions. Enforcement Outcomes refer to the number of people served by the drinking water system that will be receiving cleaner drinking water as a result of our enforcement actions.

Section VII	Resource Conservation and Recovery Act Measures: SNC, compliance monitoring; enforcement outputs and outcomes	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as measures for duration and recidivism. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions.
Section VIII	TSCA Measures; compliance monitoring; enforcement outputs.	
Section IX	FIFRA	
Section X	EPCRA	
Section XI	Multi-Media Measures: compliance monitoring	This section contains compliance monitoring measures.
Section XI	Criminal Measures: enforcement outputs	This section contains criminal enforcement output measures.

Section XII	Federal Facilities Measures: compliance monitoring and enforcement outputs	This section highlights measures for specific compliance assurance activities at federal facilities.
APPENDIX	NPMS Performance Profile FY2002 Annual Performance Goals and Measures Case Conclusion Data Sheet Definitions and Case Conclusion Data Sheet Reporting Form	

Reporting Frequencies:

The approximate dates for mid-year and end-of-year reporting are April 15th and October 15th; however exact dates vary by program system and are included in the mid-year and end-of-year call memo distributed by the Enforcement, Planning and Targeting Division. However, the frequency of reporting is as follows:

Type of Measure	
Enforcement Outcomes (Section IV)	Annual (EOY)
SNC/HPV Measures (Sections V - VIII)	Semi- Annual

Type of Measure	Reporting Frequency
Compliance Monitoring Measures (Sections V - VIII) a. investigations b. citizen compliants c. inspections	Semi-Annual
Enforcement Output Measures (Sections V - VIII)	Semi-Annual
Compliance Assistance Measures (Section II)	Semi-Annual
Compliance Incentives Measures (Section III)	Semi-Annual
MOA Manual Measures	Varies by measure see Section One



Section V: FY2002/2003 RECAP OECA Performance Measures: CWA

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NPDES Federal and State Inspections: CWAINSU - CWAINS-3

Federal and State Pretreatment Inspections: CWAINS4 - CWAINS6

Federal Industrial User Inspections: CWAINS7

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Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	
Universe of SNC Measures						
SNCWU	Total # of sources in the universe	None	a. NPDES majors	PCS (through IDEA)	a. MADI=M, PTYP= G or Blank	OECA Management

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCW1	<p>a.# and % of facilities in SNC at some point during the year¹</p> <p>b. # and % of facilities in SNC pulled quarterly (snapshot)</p>	<p>a. None</p> <p>b. None</p>	a. and b. NPDES Majors	PCS (through IDEA)	<p>a. QNCR Status Codes: D,E,S,T,X</p> <p>b. QNCR Status Codes: D,E,S,T,X</p>	OECA Management
Universe of SNC Measures						

¹Facilities in and out of SNC within a given fiscal year will only be counted once.

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCW2	<p># and percent of Beginning of Year plus new SNCs:</p> <p>a. addressed by a formal enforcement action sometime during the year</p> <p>b. returned to non-SNC status without a formal enforcement action sometime during the year²</p> <p>c. still in SNC:</p> <ul style="list-style-type: none"> < one year; > one year; > two years. 	None	NPDES Majors	PCS (through IDEA)	<p>a. QNCR Status Code: P³</p> <p>b. QNCR Status Codes: P⁴, C,N,R, and blank</p>	OECA Management
² Number addressed by formal enforcement action and # returned to non-SNC status are calculated on a one quarter lag from the number of Beginning of Year plus new SNCs. In other words, the number of Beginning of Year plus new SNCs for FY 2002 would be calculated for the time period 7/1/01 - 6/30/02. For that year, the 'addressing' or 'returned to non-SNC status' data would be for the time period 10/1/01 - 9/30/02.						

³P status is either because formal action is present in the system or as the result of a manual override.

⁴Assumes P status where facility has violated a past enforcement action and returns to compliance on its own to address the more recent violation (e.g. Q1 "P", Q2 "E", Q3 "P").

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNC Duration Measures						
SNCW3	# and % of SNC violators that return to full physical compliance in i) 6 months or less; ii) 6 months to one year; iii) 1 - 2 years; iv) more than 2 years.	None	NPDES majors	PCS (through IDEA)	QNCR Status Codes: C, R, or blank	GPRA
SNC Recidivism Measures						

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCW4	<p>a. # and % of significant violators who regain this status within 2 years of losing their SNC status ⁵</p> <p>b. # and % prior year SNCS also⁶ in SNC during the current year</p>	None	a. and b. NPDES majors in SNC	PCS (through IDEA)	<p>a. QNCR Status Codes: P, C, N, R, or blank</p> <p>b. & c. QNCR Status Codes: D,E,S,T,X</p>	<p>a. GPRA</p> <p>b. OECA Management</p>
SNC Timely and Appropriate						

⁵This measure looks at the universe of SNCs that “returned to non-SNC status” during the fiscal year two years ago, and then determines what percentage of those facilities later became SNCs (for any violation) again at some point during the next 24 months.

⁶“Also” means that these facilities were either continual SNCS or recidivists.

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCW5	<p>1) Timely and Appropriate Measure data will be calculated <u>each quarter</u> as follows:⁷</p> <p>a. calculate the number of new SNCs the previous quarter;</p> <p>b. calculate the number of facilities from (a) that received a formal addressing action during the next quarter (i.e., within 90 days of the quarter the facilities were new SNCs);</p> <p>c. calculate the number of facilities from (a) that had not received a formal addressing action during the next quarter, but 'returned to non-SNC status' during the next quarter (i.e., within 90 days of the quarter the facilities were new SNCs).</p>	<p>a. None</p> <p>b. None</p> <p>c. No. Reporting of state referrals in PCS is WENDB⁸</p>	NPDES Majors	<p>a. PCS (through IDEA)</p> <p>b. PCS and ICIS (through IDEA)</p> <p>c. PCS (through IDEA)</p>	<p>a. QNCR Status Codes: D,E,S,T,X</p> <p>b. <u>PCS</u> QNCR Status Code: P and (ENAC) codes for Formal Enforcement actions and Referrals or manual override.</p> <p>ENDT, EATP = E, S</p> <p><u>ICIS</u>; ICIS Formal Enforcement actions and Referrals.</p> <p>c. QNCR Status Codes: P⁹,</p>	OECA

⁷This measure will be pulled directly from PCS and will not be based on the exceptions list. The data will be portrayed as an overall rate as well as a rate for those returning to compliance on their own versus through an enforcement action.

⁸States are required to report referrals in PCS; however, this has not been a common practice across states. *Until state referrals are consistently entered into PCS we will continue to ask for this data manually for official counts of state referrals. However, to get credit for state referrals for this T&A measure, they should be entered into PCS since this measure is pulled from PCS. The key data field for entering referrals to the State Attorney General into PCS is ENAC = 32 (Referred to State AG).*

FY2002/2003 RECAP Measures: SNC Measures CWA: NPDES and Pretreatment						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCW5, cont.	<p>2) The number of new SNCs will be reported semi-annually and annually by adding the values from (a) calculated each quarter.</p> <p>3) The number and percent of facilities that received a formal addressing action within 90 days will be reported semi-annually and annually by adding the values from (b) calculated each quarter and comparing the result to (2).</p> <p>4) The number and percent of facilities that had not received a formal addressing action within 90 days, but ‘returned to non-SNC status’ will be reported semi-annually and annually by adding the values from (c) calculated each quarter and comparing the result to (2)¹⁰.</p>					

⁹Assumes *P* status where facility has violated a past enforcement action and returns to compliance on its own to address the more recent violation (e.g. Q1 “P”, Q2 “E”, Q3 “P”).

¹⁰Adding the values for each quarter from (a), (b), and (c) allow quarterly rates to be converted into semi-annual and annual rates. For example, if there were 582 new SNCs one quarter, and 456 received a formal enforcement action or returned to compliance on their own in 90 days the T&A rate for that quarter would be 78% (456/582). If, for the next quarter, the number of new SNCs were 667 and the number addressed were 569 the T&A rate for that quarter would be 85% (569/667) and the semi-annual rate would be 82% Total addressed SNCs/Total New SNCs ((456+569)÷(582+667)).

Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	
CWA Compliance Monitoring Outcome Measure						
CWACMOUT1	# of Actions Taken to Address Noted Deficiencies During an Inspection	Yes	NPDES	ICDS		OECA Management
CAA Investigations and Citizen Complaints						
CWAINV	<p>Total Number of Investigations</p> <p><i>Definition: a more complex assessment of a facility's compliance status than a compliance inspection (usually involving considerably more time and resources to complete).</i></p>	None	NPDES, Pretreatment, CWA 311, CWA 404	Manual		OECA Management

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWACC	<p>Total Number of Citizen Complaints</p> <p><i>Definition: any phone call or correspondence (letter or email) from individuals regarding violations of environmental laws and regulations which are received by or referred to the enforcement and compliance assurance program.</i></p>	None	NPDES, Pretreatment, CWA 311, CWA 404	Manual		OECA Management
CWA NPDES Inspections						

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWAINSU	Universes for Inspection Measures	None	<p>a. NPDES Majors</p> <p>b. NPDES Minors</p> <p>c. POTWS with approved pretreatment programs</p>	PCS through IDEA	<p>a. <u>Majors</u>: MADI=M; PTYP=G or Blank; IACC=A.</p> <p>b. <u>Minors</u>: MADI not equal to M; PTYP= all permit types except: D (Dummy EDI) and T (test EDI); IACC = A OR MADI=M; PTYP not equal to G or Blank; IACC = A.</p> <p>c. IACC = A, I; PRET = Y; PTYP = Blank, A, G, H, M, P, R, S, U.</p>	OECA Management

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWA NPDES Inspections						

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWAINS-1	a. # of EPA NPDES inspections at majors; b. # of EPA NPDES inspections at minors.	None	NPDES majors and minors ¹¹	PCS (through IDEA)	IACC = A, I, G. INSP = C (Contractor); J (Joint EPA & State-EPA lead); N (NEIC); R (EPA-Regional); E (Corps of Engineers). TYPI = Compliance Evaluation (Non-Sampling) (C); Compliance Sampling (S); Performance Audit (A); Compliance Biomonitoring (B); Toxics Sampling Inspection (X); Diagnostic (D); Reconnaissance (R); Legal Support (L); CAFO (K); <i>Oversight</i> (O); ¹² Stormwater (W); SSO (V); Sludge (Z); CSO (Y). ¹³	GPRA

¹¹The universes for these measures will be pulled according to the logic given in CWAINSU for NPDES majors and minors. However, these measures count total number of inspections. Therefore, both active and inactive facilities are selected to ensure that inspections at inactive facilities are counted.

¹²We added the code for Oversight inspections to the EPA inspection list. These represent inspections where the Region observes how well a State conducts an inspection. These oversight inspections are resource intensive. Some Regions enter these as CEI's some enter them using the Oversight code.

¹³We will not count EPA or state inspections that are coded as: TYPI= Corp of Engineers (E), Multi-media (M), Complaint (J), Spill (N), Spill/Emergency Response (Q), Field-audit (T), Compliance Assistance (H), and pollution prevention (8). TYPI= Oversight (O) is also excluded from the key data field for state inspections. Pretreatment codes (G and P) are counted under the pretreatment inspection measures (CWAINS 4 - 6). Industrial User inspection codes (I, U, 2, 3, 4, 5, 6, 7) are also not counted, but EPA Industrial User inspections are collected manually (CWAINS 7).

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWAINS-2	a. # of State NPDES inspections at majors; b. # of State NPDES inspections at minors.	None	NPDES majors and minors ¹⁴	PCS (through IDEA)	IACC = A, I, G. INSP = S (State), T (Joint EPA & State-State lead). TYPI = Compliance Evaluation (Non-Sampling) (C); Compliance Sampling (S); Performance Audit (A); Compliance Biomonitoring (B); Toxics Sampling Inspection (X); Diagnostic (D); Reconnaissance (R); Legal Support (L); CAFO (K); Stormwater (W); SSO (V); Sludge (Z); CSO (Y).	State Core Performance Measure

¹⁴The universes for these measures will be pulled according to the logic given in CWAINSU for NPDES majors and minors. However, these measures count total number of inspections. Therefore, both active and inactive facilities are selected to ensure that inspections at inactive facilities are counted.

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWAINS-3 ¹⁵	<p>a. # of NPDES facilities inspected by EPA;</p> <p>b. # of NPDES facilities inspected by the State;</p> <p>c. # of NPDES facilities inspected by either EPA or State;</p> <p>d. % of NPDES facilities inspected by either EPA or State (coverage).</p>	None	<p>a, b, c. NPDES majors and minors¹⁶</p> <p>d. NPDES majors¹⁶</p>	PCS (through IDEA)	<p>IACC = A. TYPI = Compliance Evaluation (Non-Sampling) (C); Compliance Sampling (S); Performance Audit (A); Compliance Biomonitoring (B); Toxics Sampling Inspection (X); Diagnostic (D); Reconnaissance (R); Legal Support (L); CAFO (K); Stormwater (W); SSO (V); Sludge (Z); CSO (Y).</p> <p>For EPA inspections: INSP = C (Contractor); J (Joint EPA & State-EPA lead); N (NEIC); R (EPA-Regional); E (Corps of Engineers). For State inspections: INSP = S (Stat), T (Joint EPA & State-State lead).</p>	OECA Management

¹⁵These measures count the number of facilities inspected (i.e., facility coverage), and not the total number of EPA and State inspections performed. In other words, one or more inspections at any one facility during the reporting period counts as one permittee inspected.

¹⁶The universes for these measures will be pulled according to the logic given in CWAINSU for NPDES majors and minors.

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
Pretreatment Inspections						
CWAINS-4	# of EPA pretreatment inspections	None	POTWs with approved pretreatment programs ¹⁷	PCS (through IDEA)	INSP = C (Contractor); J (Joint EPA & State-EPA lead); N (NEIC); R (EPA-Regional); E (Corps of Engineers). TYPI = Pretreatment Audit (G); Pretreatment Compliance Inspection (P) ¹⁸ .	GPRA
CWAINS-5	# of State pretreatment inspections	None	POTWs with approved pretreatment programs ¹⁷	PCS (through IDEA)	INSP = S (State), T (Joint EPA & State-State lead). TYPI = Pretreatment Audit (G); Pretreatment Compliance Inspection (P).	State Core Performance Measure

¹⁷The universes for these measures will be pulled according to the logic given in CWAINS4 for POTWs with approved pretreatment programs.

¹⁸Note that for measures CWAINS4 - 6 we are not counting pretreatment follow-up inspections.

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
CWAINS-6	a. # of pretreatment facilities inspected by EPA or the state (coverage) b. % of pretreatment facilities inspected by EPA or state ¹⁹	None	POTWs with approved pretreatment programs ¹⁷	PCS (through IDEA)	INSP = C (Contractor); J (Joint EPA & State-EPA lead); N (NEIC); R (EPA-Regional); E (Corps of Engineers); S (State); T (Joint EPA & State-State lead). TYPI = Pretreatment Audit (G); Pretreatment Compliance Inspection (P).	OECA Management
Pretreatment Inspections						
CWAINS-7	# of EPA Industrial User inspections	None	a. In Pretreatment cities b. In non-pretreatment cities	Manual	Guidance and logic is being developed as to how these inspections should be entered into and pulled from PCS. Until these are developed we will continue to collect these inspections manually.	GPRA
Clean Water Act Section 311: Oil Pollution Act (OPA)						
CWAINS-8	# of EPA CWA (OPA) 311 inspections	None	Oil Pollution Act Sources CWA 311	Manual	Break out Federal Facility and Non-Federal Facility	GPRA

¹⁹The coverage data for this measure may be split out between Pretreatment Audits and Pretreatment Compliance Inspections in order to compare to historical Pretreatment Compliance Inspection coverage data.

FY 2002/2003 RECAP Compliance Monitoring Measures						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
Clean Water Act Section 404: Wetlands						
CWAINS-9	# of EPA CWA 404 inspections	None	CWA 404 Wetlands	Manual	Break out Federal Facility and Non-Federal Facility	GPRA

CWAENOUT 1	<p># of Physical and Nonphysical Complying Action types for CWA cases.</p> <p><i>Definition: Changes that are made by the violator as a result of the enforcement action. Only physical actions result in a direct environmental benefit (e.g., use reduction) and should have a pollutant name and amount. Nonphysical actions should list pollutant name without amount (e.g., reporting, planning).</i></p>	None	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.	GPRA
CWAENOUT 2	<p>Pounds of pollutant reduced/waste stream reduced/eliminated/treated as a result of enforcement (non-SEP).</p> <p><i>Definition: Pollutant reductions that are estimated to result from facility actions involving physical changes (e.g. use reduction, industrial process change, emissions/ discharge change).</i></p>	None	ICIS	<p>Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</p> <p>Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet.</p>	GPRA

FY2002/2003 RECAP CWA Enforcement Outcomes					
Measure Code	Measure	New Reporting	Source of Data	Database Fields	Reason for Measure
CWAENOUT 3	\$ Value of injunctive relief for physical and nonphysical actions	None	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.	GPRA
CWAENOUT 4	Category of SEP	None	ICIS	Add Enforcement Action Conclusion: SEP Screen.	OECA Management
CWAENOUT 5	\$ Value of SEP	None	ICIS	Add Enforcement Action Conclusion: SEP Screen.	OECA Management

CWAENOUT 6	SEP pollutant(s) and/or chemical(s)and/or waste streams and amount of reductions/eliminations/ treatment (e.g., emissions/ discharges), and quantify by pollutant, amount, unit of measure, and media.	None	ICIS	Activity Add Enforcement Action Conclusion: SEP Screen. Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet .	OECA Management
FY2002/2003 RECAP CWA Enforcement Outcomes					
Measure Code	Measure	New Reporting	Source of Data	Database Fields	Reason for Measure
CWAENOUT 7	Penalty Information: a. dollar amount of final assessed penalty. b. if shared, Federal share. c. if shared, State or local share. d. for multi-media actions, Federal amounts by statute.	None	ICIS	Activity Add Enforcement Action Conclusion: Penalty/Cost Recovery Screen.	GPRA
FY2002/2003 RECAP CWA Enforcement Outputs					
Federal Enforcement Outputs: Notices of Violation					

FY2002/2003 RECAP CWA Enforcement Outputs					
EONOVW	# of Federal NOV's in the CWA Program	None	PCS (through IDEA)	<p>IACC = A, I, G EATP = E</p> <p>ENAC = Letter of Violation/Warning Letter: 3, Notice of Violation (NOV) to State: 20²⁰</p>	OECA Management
Federal Enforcement Outputs: Consent Decree Tracking					
Measure Code	Measure	New Reporting	Source of Data	Database Fields	Reason for Measure
EOCDW1	# of Active Consent Decrees (by media)	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management
EOCDW2	# of Active Consent Decrees in Compliance	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management

²⁰These are the retained codes for NOV's and LOV's according the June 6, 2002 "New Guidance on Proper Use of Enforcement Action and Penalty Codes." Until reporting and programming changes are in place, the old codes "linked" to these two codes will also need to be pulled to ensure accurate counts. These "linked" codes are the codes: A8, 2, 8, 61, 91, 92, 93, 98, and 99.

FY2002/2003 RECAP CWA Enforcement Outputs					
EOCDW3	# of Active Consent Decrees in Violation where Formal Enforcement Action has commenced	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management
EOCDW4	# of Active Consent Decrees in violation with no Formal Enforcement Action	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management
EOCDW5	# of Active Consent Decrees for which current status is unknown or not reported	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management
Federal Enforcement Outputs: CWA Civil Case Initiations					
EOCIW1	# of Civil Judicial Referrals	None	ICIS	Activity Add Enforcement Action.	GPRA

FY2002/2003 RECAP CWA Enforcement Outputs					
EOCIW2 ²¹	# of Administrative Penalty Order Complaints	None	ICIS	Activity Add Enforcement Action.	GPRA
Federal Enforcement Outputs: CWA Civil Case Conclusions					
EOCCW1	# of Civil Judicial Cases Concluded	None	ICIS	Activity Add Enforcement Action Conclusion.	GPRA
EOCCW2	# of Compliance Orders Issued	None	ICIS	Activity Add Enforcement Action Conclusion.	GPRA
EOCCW3	# of Final Administrative Penalty Orders Issued	None	ICIS	Activity Add Enforcement Action Conclusion.	GPRA
EOCCW4	# of Final Federal Facility Compliance Agreements Issued	None	ICIS	Activity Add Enforcement Action Conclusion.	GPRA

²¹For some reports a subset of EOCIA2 and EOCDW3 is presented: the number of major and minor facilities with EPA formal enforcement actions (AO's, APO's and Consent Decrees).

FY2002/2003 RECAP CWA Enforcement Outputs						
State Enforcement Outputs: CWA State Enforcement Actions						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
EOSW1	# of State Administrative Compliance Orders and Administrative Penalty Orders (for NPDES and pretreatment) ²²	None	NPDES majors and minors	PCS (through IDEA)	$IACC = A, I, G$ $EATP = S$ $ENAC = 21; 22; 72;$ $75; 89; 97; C1; A1;$ $A5^{23, 24}$	State Core Performance Measure

²²For some reports a modified measure is presented: the number of major and minor facilities with State formal enforcement actions (AO's, APO's and Consent Decrees).

²³The description of these codes are as follows: '21' Administrative Order; '22' Administrative Consent Order; '72' Pretreatment AO; '75' Fed Facility Comp Agreement; '89' Order of Suspension or Revocation; '97' Emergency Order, Governor; 'C1' Time Schedule Order; 'A1' CWA Penalty AO; 'A5' Pretreatment Penalty AO.

²⁴These are the retained codes for ACOs and APOs according the June 6, 2002 "New Guidance on Proper Use of Enforcement Action and Penalty Codes." Until reporting and programming changes are in place, the old codes "linked" to these two codes will also need to be pulled to ensure accurate counts. These "linked" codes are the codes: 23, 63, 68, 78, 80, 96, 88, 90, AE, A3, 66, AF, AP, A7.

FY2002/2003 RECAP CWA Enforcement Outputs						
State Enforcement Outputs: CWA State Enforcement Actions						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
EOSW2	# of Cases Referred to the State Attorney General	None	NPDES majors and minors	Manual ²⁵		State Core Performance Measure

²⁵States are required to report referrals in PCS; however, this has not been a common practice across states. Until state referrals are consistently entered into PCS we will continue to ask for this data manually. The key data field for entering referrals to the State Attorney General into PCS is ENAC = 32 (Referred to State AG).